

Compliance Now

Risk Ruleset & Control Library

Scope, content and limitations of the CN
libraries

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Scope of the CN Libraries

ComplianceNow's risk and control libraries were developed as proprietary assets of CN Access Control and CN Internal Control. The primary aim was to create a risk library that addresses common SAP risk areas, including SAP Security, SAP Basis, HR/Payroll, Finance, Procure to Pay, Order to Cash, and Quality Management — and is applicable across various industries. This approach enables organizations to quickly identify and reduce risks early in the process, while minimizing the need to self-develop rules.

The development of the CN Internal Control library was a logical continuation of this strategy. When organizations identify risks using CN Access Control, they may be required to accept certain risks related to key personnel to maintain operational efficiency. In such cases, mitigating controls become essential. The CN Internal Control library aims to provide corresponding controls for the risks identified in the risk library. This ensures that organizations can either prevent risks through the Segregation of Duties (SoD) tool or accept the risk and implement a mitigating control to manage it effectively.

The CN Risk Library and Control Library are continuous projects. To read more about limitations and scope, refer to the limitation sections (page 4 for CN Risk Library, Page 5 for CN Control Library).

For a detailed breakdown of the areas covered and the number of risks in each area, refer to the tables below.

CN Risk Library

The CN Risk Library is reviewed annually by PwC to ensure alignment with current best practices. Any findings or recommendations from the audit are incorporated into the ruleset as part of a continuous update process to maintain its relevance and effectiveness. As part of a subscription to CN Access Control, all updates resulting from PwC's review are made available, ensuring your SAP environment remains up to date and optimized.

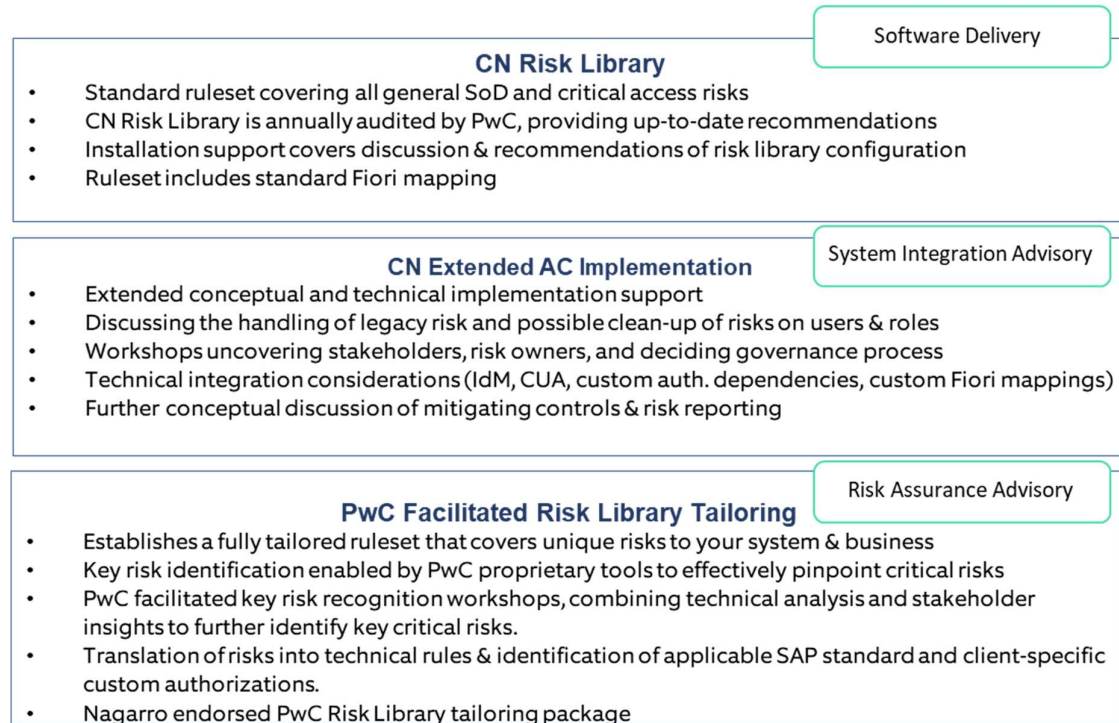
CN Risk Library content

Below is a concise overview of the current groups covered in the CN Risk Library and how many risks are defined under each group.

Group:	Basis	Finance	HR	Order to cash	Procure to pay	Quality management
SoD Risks:	9	22	12	33	64	14
Total SoD Risks			Total Critical Access Risks			
154			86			

Configuration and customization

A tiered process overview of how to go from standard risk library to customer tailored risk library:



The tiered process overview above outlines ComplianceNow's approach to delivering and customizing the CN Risk Library. At its core, ComplianceNow provides robust software solutions and technical integration services, designed to help organizations manage SAP risks using a pre-built, comprehensive ruleset. The CN Risk Library is designed to cover common SAP risk areas, offering immediate value to organizations looking to accelerate their risk management processes.

However, as every business is unique, some level of configuration will be required. ComplianceNow can assist through extended system integration services, helping businesses with configuration, role clean-up, and discussions on future considerations to align the tool with their specific risk management needs. This ensures organizations can maximize the value of the CN tool while addressing their unique challenges.

For companies requiring a fully tailored risk ruleset—one that reflects specific business risks or industry nuances—ComplianceNow recommends working with a dedicated risk advisor. ComplianceNow collaborates closely with PwC, who offers specialized risk assurance advisory services. PwC is familiar with the CN Access Control tool and can help organizations create a fully customized risk library that fits their individual requirements.

Limitations of the CN Risk Library

Fiori

ComplianceNow is not obligated to include new features, Fiori apps, or transactions in the ruleset as they are introduced by SAP. While the ruleset will be updated regularly, these updates are provided

at ComplianceNow’s discretion and are not available upon request as part of the subscription. Any customer-requested updates or modifications will be billed separately on a time-and-materials basis.

SAP releases new feature packs four times a year, which include new Fiori applications. ComplianceNow aims to update the ruleset within six weeks of these releases. As a result, there may be periods where certain Fiori apps are not immediately covered due to the reactive nature of these updates.

Configuration and customization limitations

While the ruleset is fully customizable, any modifications made is the customer’s responsibility. ComplianceNow is not liable for any complications that arise due to changes made to the standard ruleset. The ruleset is intended to function as a universal, out-of-the-box solution and is not tailored to specific company risks or rules.

A completely custom ruleset is beyond the scope of ComplianceNow. If such a service is required, we generally refer to our long-term collaboration partner PwC, which offers a completely tailored ruleset to your organization unique requirements. For an overview of how ComplianceNow and PwC cooperate in relation to SoD rulesets, refer to the figure above.

CN Control Library Overview

The CN Control Library, part of the CN Internal Control module, complements the CN Risk Library by offering mitigating controls for identified risks. These control templates are designed to quickly mature an organization’s internal control processes, providing a strong foundation and framework to build upon. By implementing these pre-built templates, organizations can streamline the development of internal controls, accelerate risk mitigation efforts, and establish a consistent, reliable approach to control execution across key SAP areas such as SAP Security, Finance, HR/Payroll, Procure to Pay, and Order to Cash.

Group:	Basis	Finance	Role & User Auth.	HR	Change Management	Order to cash	Procure to pay
Control Templates	37	13	6	2	11	11	15
Total SoD Control Templates				Total Critical Access Control Templates			
95				70			

Limitations of the CN Control Library

The library is continuously updated as part of the subscription, ensuring templates remain relevant and up-to-date with evolving risks. However, organizations are responsible for configuring these templates to fit their specific processes. ComplianceNow does not assume responsibility for configurations, and it is the customer's role to ensure proper implementation.

For organizations with unique needs, ComplianceNow offers custom control development as a separate service. Customizations are not part of the standard subscription and are billed on a time-and-materials basis.

Linking risks to controls

A key objective of the CN Control Library is to link the risks identified in the CN Risk Library to appropriate mitigating controls. However, as risk landscapes evolve, ComplianceNow cannot guarantee that every risk identified will always have a corresponding control in the library, as it is a continuous process.

Templates

The controls in the library are templates, providing a general framework for mitigating specific risks. They serve as a foundation upon which your organization can build and tailor controls to meet its unique needs. While the templates offer guiding principles for control creation, they require configuration and customization to align with the specific processes and requirements of your organization in order to ensure adequate risk coverage.

Further inquiries

If you have any further questions regarding the ruleset, the risk or control libraries, or any of the services outlined in this document, feel free to reach out to us at:

Support@compliancnow.eu

We are committed to helping you navigate the complexities of SAP Risk Management & Compliance, and our team is ready to assist you with advice or further clarifications.